



## INSTRUCTIONS FOR LEGAL ENTITY

### 1. ALL APPLICANTS: THE DESIGNATED BROKER completing this Application MUST:

- Already hold a Connecticut Real Estate Broker's License;
- or
- Have an Individual Broker's License in a Reciprocal State by examination;
- or
- Passed the Connecticut Real Estate Broker's Exam but have not paid for license.

### 2. ALL APPLICANTS: ☐ FIRST REGISTER YOUR LEGAL ENTITY WITH THE CONNECTICUT SECRETARY OF STATE (860) 509-6002

### 3. ALL APPLICANTS:

- ☐ After you have registered with the Connecticut Secretary of State's Office, they will give you an "acceptance of filing"; **HOWEVER, THIS IS NOT THE DOCUMENT WE NEED. THIS OFFICE NEEDS A "CERTIFICATE OF LEGAL EXISTENCE"**. Once you have received your "acceptance of filing" you must request the certificate of legal existence from the Connecticut Secretary of State's Office and include the appropriate fee. (see instructions and fees below)

- ☐ WRITE A LETTER & INCLUDE FEE  
ASKING FOR: "**CERTIFICATE OF LEGAL EXISTENCE**"

WRITE TO:

**Connecticut Secretary of State's Office  
30 Trinity Street, Hartford, CT 06106**

**Check Payable to "Secretary of State"**

- ☐ \$40.00 for Corporation  
☐ \$25.00 for Limited Liability Company or Limited Partnership

### 4. ALL APPLICANTS: AFTER YOU HAVE RECEIVED THE "CERTIFICATE OF LEGAL EXISTENCE"

- ☐ COMPLETE APPLICATION FOR LEGAL ENTITY TO BECOME A BROKER
- ☐ ATTACH THE "Certificate of Legal Existence" - original only - no copies
- ☐ ATTACH A COPY OF YOUR "ARTICLES OF INCORPORATION" OR "ARTICLES OF ORGANIZATION".

### 5. ALL APPLICANTS:

- ☐ Obtain "Certification of License History" from each state in which you currently have or had a license.  
Copy of license is not acceptable
- 
- ☐ NOTE: Licensed Connecticut Salespersons currently working for you must complete a Salesperson Transfer Form to become affiliated with your new legal entity; \$25.00 transfer fee for each. See website for Salesperson Transfer Form at: [www.dcp.state.ct.us/licensing/realestate.htm](http://www.dcp.state.ct.us/licensing/realestate.htm)
- ☐ NOTE: Salespersons not Connecticut licensed, must apply for a Connecticut license.  
Salesperson from a reciprocal state - Select Reciprocal Individuals from website shown above.  
Salesperson from a non-reciprocal state - Select Applicants with Out-of-State Courses from website shown above.

### 6. RECIPROCAL BROKERS - Must Continue With This Section

- ☐ OBTAIN A "**CERTIFICATION OF LICENSE HISTORY**"
- from your State real estate licensing authority indicating that the LEGAL ENTITY is licensed as a Real Estate Broker.
  - also indicating that you have passed a broker's exam.
- **Note: copy of license is not acceptable**
- ☐ **COMPLETE CPR-73** - Select the appropriate Consent form for your type of legal entity.

### 7. ALL APPLICANTS: FEES

- ☐ **\$60.00 Application Fee for Designated Broker** - Check Payable to: "**Treasurer, State of Connecticut**"  
Note: This \$60 fee is not required, if you already hold a Connecticut Broker License OR you have recently passed the Connecticut Broker's Exam
- ☐ **LICENSE FEE and APPLICATION FEE for Legal Entity** - See Pro-Rated License Fee Schedule

STATE OF CONNECTICUT  
DEPARTMENT OF CONSUMER PROTECTION  
Occupational and Professional Licensing Division  
165 Capitol Avenue - Room 110  
Hartford, Connecticut 06106  
(860) 713-6150

## BROKER PRO-RATED LICENSE FEE SCHEDULE

### IF PAYMENT IS MADE BETWEEN:

4/1 - 6/30 .....\$470.00 + \$60.00 LEGAL ENTITY APPLICATION FEE = \$530.00

7/1 - 9/30 .....\$357.50 + \$60.00 LEGAL ENTITY APPLICATION FEE = \$417.50

10/1 - 12/31 .....\$245.00 + \$60.00 LEGAL ENTITY APPLICATION FEE = \$305.00

1/1 - 1/31.....\$132.50 + \$60.00 LEGAL ENTITY APPLICATION FEE = \$192.50

**NOTE:** If submitting Application between 2/1 and 3/31, include the Renewal Fee payment to avoid a delay in processing your active license.

2/1 - 3/31 .....\$132.50 + \$60.00 LEGAL ENTITY APPLICATION FEE = \$192.50  
+Renewal Fee

+ Renewal Fee on even years    \$308.00 = \$500.50  
or  
+ Renewal Fee on odd years    \$300.00 = \$492.50

MAKE YOUR CHECK PAYABLE TO:  
"TREASURER, STATE OF CONNECTICUT"

Note: If you are not licensed as a Connecticut Individual Broker,  
you must include Two \$60.00 Application Fees  
(one to qualify as a broker and one for the legal entity).

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**APPLICATION FOR A LEGAL ENTITY TO BECOME A BROKER or REINSTATE**

Official Use Only

- A. Section I is to be completed IN THE NAME OF THE COMPANY.  
B. Section II is to be completed IN YOUR NAME as the designated broker for the Company.  
C. Section III is to be completed by all out-of-state applicants.  
D. Section IV is to be completed by All Applicants – signature of Designated Broker

**SECTION I - Type or Print your Answers**

TYPE OF LEGAL ENTITY: ☐ CORPORATION ☐ LIMITED LIABILITY COMPANY ☐ LTD PARTNERSHIP  
☐ PARTNERSHIP ☐ ASSOCIATION ☐ LIMITED LIABILITY PARTNERSHIP

APPLICATION STATUS: ☐ NEW LEGAL ENTITY ☐ REINSTATEMENT ☐ RECIPROCAL

CHANGES: ☐ CHANGE OF DESIGNEE ☐ COMPANY NAME CHANGE *must be same type of legal entity/new entity if not.*  
"Certificate of Legal Existence Short Form" required for Name Change purchased  
from Secretary of State's Office for \$40.00 to show history of name changes(s).

1. NAME OF LEGAL ENTITY \_\_\_\_\_
2. BUSINESS ADDRESS \_\_\_\_\_  
Street City/State Zip Code
3. Have you ever changed the company name? ☐ YES ☐ NO If yes, Give name(s): \_\_\_\_\_
4. Is your legal entity up-to-date with the Secretary of State's Office? ☐ YES ☐ NO
5. Will you be using a Trade Name? ☐ YES ☐ NO
6. If yes, what is the Trade Name \_\_\_\_\_
7. Have you registered your Trade Name at the Town Clerk's Office where your business is located? ☐ YES ☐ NO ☐ Not Necessary

**NO PARTNERSHIP, ASSOCIATION, CORPORATION, OR LIMITED LIABILITY COMPANY SHALL BE GRANTED A LICENSE UNLESS EVERY MEMBER OR OFFICER WHO ACTIVELY PARTICIPATES IN ITS REAL ESTATE BUSINESS HOLDS A LICENSE AS A REAL ESTATE BROKER.**

8. LIST BELOW EACH MEMBER, OFFICER OR DIRECTOR. (Attach Separate List, if necessary)  
**PLACE AN "X" IN THE BOX NEXT TO THEIR NAME IF THEY WILL ENGAGE IN THE REAL ESTATE BUSINESS IN CONNECTICUT:**

<input type="checkbox"/>	Name	Title	Address
<input type="checkbox"/>	Name	Title	Address
<input type="checkbox"/>	Name	Title	Address
<input type="checkbox"/>	Name	Title	Address

9. Has any complaint been filed against any officer or member of this business entity with this office or with any other State?  
If yes, give details \_\_\_\_\_ 9. ☐ YES ☐ NO
10. Have you or any officers or members of this business entity been convicted of a felony crime or a crime related to forgery, embezzlement  
obtaining money under false pretenses, extortion, criminal conspiracy to defraud, or any like offense? 10. ☐ YES ☐ NO  
If yes, please attach a statement providing the date(s) of conviction(s), the court(s) where the cases were decided,  
and a description of the circumstances relating to each conviction(s).
11. Has business entity ever held a real estate license in any other State?  
What State? \_\_\_\_\_ Dates held \_\_\_\_\_ 11. ☐ YES ☐ NO  
Attach Certification(s) of License History from each State in which you have or had a real estate license. Copy of license is NOT acceptable.
12. Does business entity currently hold a real estate license in Connecticut or any other State?  
What State? \_\_\_\_\_ License # \_\_\_\_\_ 12. ☐ YES ☐ NO
13. Have any officers or members of this business entity ever been refused a real estate license in Connecticut or any other State?  
If yes, give date \_\_\_\_\_ What State? \_\_\_\_\_  
Give details \_\_\_\_\_ 13. ☐ YES ☐ NO
14. Have any officers or members of this business entity ever had their real estate license revoked or suspended in CT or any other State?  
If yes, give date \_\_\_\_\_ What State? \_\_\_\_\_  
Give details \_\_\_\_\_ 14. ☐ YES ☐ NO

## SECTION II - Type or Print your Answers

1. NAME OF DESIGNATED BROKER: \_\_\_\_\_  
First Middle Last
2. RESIDENCE ADDRESS \_\_\_\_\_  
Street City/State Zip Code
3. TELEPHONE: RESIDENCE \_\_\_\_\_ BUSINESS \_\_\_\_\_ CELL \_\_\_\_\_  
Residence FAX \_\_\_\_\_ Business FAX \_\_\_\_\_  
E-MAIL ADDRESS \_\_\_\_\_
- 
4. HAVE YOU EVER CHANGED YOUR NAME? ☐ YES ☐ NO If Yes, Give Name(s) \_\_\_\_\_
5. DATE OF BIRTH \_\_\_\_\_
6. Do you currently hold a real estate broker's license in your own name in Connecticut or any other State? ☐ YES ☐ NO  
LICENSE # \_\_\_\_\_ STATE \_\_\_\_\_
7. Has any complaint been filed against you with any licensing authority of Connecticut or any other State?  
If yes, give details \_\_\_\_\_ 7. ☐ YES ☐ NO
8. Have you been convicted of any felony crime or a crime related to forgery, embezzlement, obtaining money under false pretenses, extortion, criminal conspiracy to defraud, or any like offense? 8. ☐ YES ☐ NO  
If yes, please attach a statement providing the date(s) of conviction(s), the court(s) where the cases were decided, and a description of the circumstances relating to each conviction(s).
9. Have you ever held a real estate license in Connecticut or any other State? 9. ☐ YES ☐ NO  
If yes, give name of State \_\_\_\_\_ Dates Held \_\_\_\_\_  
Type of license \_\_\_\_\_ License # \_\_\_\_\_  
Attach Certification(s) of License History from each State in which you have or had a real estate license. Copy of license is NOT acceptable.
10. Have you ever been refused a real estate license in Connecticut or any other State? 10. ☐ YES ☐ NO  
If yes, give name of State \_\_\_\_\_ Dates Held \_\_\_\_\_  
Details \_\_\_\_\_
11. Have you ever had a real estate license revoked or suspended in Connecticut or any other State? 11. ☐ YES ☐ NO  
If yes, give name of State \_\_\_\_\_ Dates Held \_\_\_\_\_  
Details \_\_\_\_\_
12. Are you engaged in any business other than Real Estate? If yes, state nature of business, where and what you do: \_\_\_\_\_ 12. ☐ YES ☐ NO
13. Have you read the Connecticut Real Estate Licensing Laws and Regulations? 13. ☐ YES ☐ NO
14. Do you agree to return immediately any license, when required by the Real Estate Commission, and to conform to all rules and regulations promulgated by the Commission and this Department? 14. ☐ YES ☐ NO

## SECTION III - ALL NON-RESIDENTS

### CONSENT FOR SERVICE OF PROCESS FOR INDIVIDUALS

KNOW ALL MEN BY THESE PRESENTS:

THAT THE UNDERSIGNED \_\_\_\_\_

COUNTY OF \_\_\_\_\_ STATE OF \_\_\_\_\_ Being an applicant for license as a Real Estate Broker or Real Estate Salesperson under the provisions of Chapter 392 of the Connecticut General Statutes and subsequent amendments thereto, does hereby irrevocably consent that suits and actions may be commenced against such applicant in the proper court in any judicial district of the state in which a cause of action may arise or in which the plaintiff may reside, and that in the event proper service of process cannot be made upon such applicant in any such proceeding, service may be made by service of process or pleading authorized by the laws of Connecticut on the Chairperson of the Connecticut Real Estate Commission, hereby stipulating and agreeing that such service of such process or pleading upon the said Chairperson of the Connecticut Real Estate Commission shall be taken and held in all courts to be as valid and binding as if service had been made upon said applicant in the State of Connecticut.

In Witness Whereof, The Above Named Applicant Has Signed And Sealed This Instrument

AT \_\_\_\_\_ ON THE \_\_\_\_\_ DAY OF \_\_\_\_\_ 20 \_\_\_\_\_

\_\_\_\_\_  
SIGNATURE OF APPLICANT

## SECTION IV - ALL APPLICANTS MUST COMPLETE THIS SECTION

I, being duly sworn to law, hereby affirm that the answers given above are true to the best of my knowledge and belief, and that this Application is made for the sole purpose of obtaining a Real Estate Broker License in the State of Connecticut.

STATE \_\_\_\_\_ CITY OR TOWN \_\_\_\_\_ COUNTY OF \_\_\_\_\_ DATE \_\_\_\_\_

SUBSCRIBED AND SWORN TO BEFORE ME THIS \_\_\_\_\_ DAY OF \_\_\_\_\_ 20 \_\_\_\_\_

\_\_\_\_\_  
Signature of Notary Public

\_\_\_\_\_  
Signature of Applicant



## CONSENT FOR SERVICE OF PROCESS FOR CORPORATIONS

CERTIFIED COPY OF RESOLUTION DULY PASSED BY THE BOARD OF DIRECTORS

OF THE \_\_\_\_\_ CORPORATION

ON THE \_\_\_\_\_ DAY OF \_\_\_\_\_ 20\_\_\_\_\_.

At a meeting of the Board of directors of the \_\_\_\_\_ CORPORATION

held on the \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_.

a quorum being present, the following resolution was passed by said Board:

**RESOLVED** that this Corporation being an applicant for a license as a Connecticut Real Estate Broker under the provisions of Chapter 392 of the Connecticut General Statutes, entitled "Real Estate Brokers and Salespersons", does irrevocably consent that suits and actions may be commenced against the Corporation in the proper court in any judicial district of the State in which a cause of action may arise or in which the plaintiff may reside, and that in the event proper service of process cannot be made upon this Corporation in any such proceeding, service of process may be made therein by the service of any process or pleadings authorized by the laws of Connecticut on the Chairman of the Connecticut Real Estate Commission, hereby stipulating and agreeing that such service of process or pleadings upon said Chairman of the Connecticut Real Estate Commission shall be taken and held in all courts to be as valid and binding as if service had been made upon the Corporation in the State of Connecticut and the President and Secretary of this Corporation are authorized to execute such instruments as may be necessary to effectuate this resolution.

SEAL OF CORPORATION

I hereby certify that the above is a true copy  
the Resolution of the Directors of such Corporation  
authorizing the irrevocable consent for suits and  
actions in the State of Connecticut.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Secretary signature

STATE OF \_\_\_\_\_ }

SS

COUNTY OF \_\_\_\_\_ }

On this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_, personally appeared

\_\_\_\_\_ title: \_\_\_\_\_ of the

\_\_\_\_\_ Corporation

who acknowledged the foregoing instrument to be his (her) free act and deed and the free act and deed of the said corporation, and that the seal affixed to said instrument is the corporate seal of said corporation; and that the said corporate seal and signature were duly affixed and subscribed to by the authority and direction of said Corporation.

WITNESS, my hand and official seal  
at \_\_\_\_\_  
in the County and State aforesaid, the  
day, date, and year above written.

\_\_\_\_\_  
NOTARY PUBLIC



## CONSENT FOR SERVICE OF PROCESS FOR LIMITED LIABILITY COMPANY

THE NAME OF THE LIMITED LIABILITY COMPANY

IS \_\_\_\_\_

IT IS REGISTERED UNDER THE LAWS

OF \_\_\_\_\_

AND THE ADDRESS OF ITS EXECUTIVE OFFICE

IS \_\_\_\_\_

The limited liability company, being an applicant for a license as a Real Estate Broker under the provisions of Chapter 392 of the Connecticut General Statutes, entitled "Real Estate Brokers and Salespersons", does irrevocably consent that suits and actions may be commenced against the limited liability company in the proper court in any judicial district of the State in which a cause of action may arise or in which the plaintiff may reside, by the service of any process or pleading, authorized by the laws of the State of Connecticut, on the Chairman of the Connecticut Real Estate Commission. The limited liability company stipulates and agrees that such service of process or pleading upon said Chairman of the Connecticut Real Estate Commission shall be taken and held in all courts to be as valid and binding as if service had been made upon the limited liability company in the State of Connecticut.

DATED AT \_\_\_\_\_ THIS \_\_\_\_\_ DAY OF \_\_\_\_\_, 20\_\_\_\_

\_\_\_\_\_  
MANAGER

STATE OF \_\_\_\_\_

COUNTY OF \_\_\_\_\_, 20\_\_\_\_

PERSONALLY  
APPEARED \_\_\_\_\_ AND \_\_\_\_\_

AND ACKNOWLEDGED THE SAME TO BE THEIR FREE ACT AND DEED, BEFORE ME.

\_\_\_\_\_  
NOTARY PUBLIC